

IAP15 Rec'd PCT/PTO 01 AUG 2006

PTO-1390 (Rev. 07-2005)  
Approved for use through 3/31/2007. OMB 0651-0021  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		<b>ATTORNEY'S DOCKET NUMBER</b> <b>24-028-TN</b>
		<b>U.S. APPLICATION NO. (If known, see 37 CFR 1.5)</b> <b>10/553,696</b>
<b>INTERNATIONAL APPLICATION NO.</b> <b>PCT/JP2004/005486</b>	<b>INTERNATIONAL FILING DATE</b> <b>18 OCTOBER 2005</b>	<b>PRIORITY DATE CLAIMED</b> <b>18 APRIL 2003</b>
<b>TITLE OF INVENTION SHEET FOR MANUFACTURING OPTICAL DISK AND OPTICAL DISK</b>		
<b>APPLICANT(S) FOR DO/EO/US KATOH et al.</b>		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"><li><input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li><input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li><input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.</li><li><input type="checkbox"/> The US has been elected (Article 31).</li><li><input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))<ol style="list-style-type: none"><li><input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li><li><input type="checkbox"/> has been communicated by the International Bureau.</li><li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li><input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).<ol style="list-style-type: none"><li><input type="checkbox"/> is attached hereto.</li><li><input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li></ol></li><li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<ol style="list-style-type: none"><li><input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li><li><input type="checkbox"/> have been communicated by the International Bureau.</li><li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li><input type="checkbox"/> have not been made and will not be made.</li></ol></li><li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li><li><input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li></ol> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"><li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li><li><input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li><li><input type="checkbox"/> A preliminary amendment.</li><li><input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li><li><input type="checkbox"/> A substitute specification.</li><li><input type="checkbox"/> A power of attorney and/or change of address letter.</li><li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</li><li><input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li><li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li></ol>		

This collection of information is required by 37 CFR 1.414 and 1.491–1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/553,696</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP2004/005486</b>		ATTORNEY'S DOCKET NUMBER <b>24-028-TN</b>	
20. Other items or information: <b>A. COPY OF NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C 371 IN THE US DESIGNATED/ELECTED OFFICE (DO/EO/US)</b> <b>B. RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C 371 IN THE US DESIGNATED/ELECTED OFFICE (DO/EO/US)</b>					
The following fees have been submitted				<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>
21.	<input checked="" type="checkbox"/>	Basic national fee (37 CFR 1.492(a))	\$300	\$ 0	
22.	<input checked="" type="checkbox"/>	Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of the PCT Article 33(1)-(4) . . . . . All other situations . . . . .	\$0 \$200	\$ 0	
23.	<input checked="" type="checkbox"/>	Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of the PCT Article 33(1)-(4) . . . . . Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority . . . . . International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB. . . . . All other situations . . . . .	\$0 \$100 \$400 \$500	\$ 0	
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 0	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing IN COMPLIANCE WITH 37 cfr 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
49	-100 = 0	/50 = 0	x \$250	\$ 0	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of the commencement of the national stage (37 CFR 1.492(h)).				\$ 0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	9 - 20 =	0	X \$50	\$ 0	
Independent claims	1 - 3 =	0	X \$200	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+	\$360	\$ 0
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 0	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				\$ 0	
<b>SUBTOTAL =</b>				\$ 0	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$ 0	
<b>TOTAL NATIONAL FEE =</b>				\$ 0	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 40</b>	
				<b>Amount to be refunded:</b>	\$
				<b>Amount to be charged:</b>	\$

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- a. ☒ A check in the amount of \$ 40 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

POSZ LAW GROUP, PLC  
12040 SOUTH LAKES DRIVE

SUITE 101  
RESTON, VA 20191  
PHONE (703) 707-9110

  
SIGNATURE.

DAVID G. POSZ  
NAME

37,701  
REGISTRATION NUMBER

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): KATOH et al.

Atty. Dkt.: 24-028- TN

Serial No.: 10/553,696

Group Art Unit:

Filed: October 18, 2005

Examiner: Unknown

Title: **SHEET FOR MANUFACTURING  
OPTICAL DISK AND OPTICAL  
DISK**

U.S. Patent and Trademark Office  
Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Date: August 1, 2006

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371**

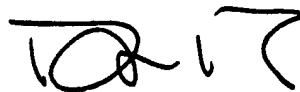
Sir:

This is in response to the Notification of Missing Requirements mailed on June 12, 2006 in connection with the above application. Enclosed is a copy of said Notice, as well as the following documents and fees required to complete the filing requirements of the above application.

- Executed Declaration and Power of Attorney. The above-identified application is the same application the inventors executed by signing the enclosed declaration
- Executed Assignment and Recordation Cover Sheet
- A check in the amount of \$40 to cover the following fees:
  - Assignment Recordation Fee of \$40

It is respectfully requested that any additional fees be charged to Deposit Account 50-1147.

Respectfully submitted,



David G. Posz  
Reg. No. 37,701

Posz Law Group, PLC  
12040 South Lakes Drive  
Suite 101  
Reston, VA 20191  
(703) 707-9110  
Customer No. 23400



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
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Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/553,696	Kazuya Katoh	24-028-TN

23400  
POSZ LAW GROUP, PLC  
12040 SOUTH LAKES DRIVE  
SUITE 101  
RESTON, VA 20191

INTERNATIONAL APPLICATION NO.
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PCT/JP04/05486

I.A. FILING DATE	PRIORITY DATE
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04/16/2004

04/18/2003

CONFIRMATION NO. 1984

371 FORMALITIES LETTER



\*OC000000019214757\*

Date Mailed: 06/12/2006

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 10/18/2005
- English Translation of the IA filed on 10/18/2005
- Copy of the International Search Report filed on 10/18/2005
- Preliminary Amendments filed on 10/18/2005
- Request for Immediate Examination filed on 10/18/2005
- U.S. Basic National Fees filed on 10/18/2005
- Priority Documents filed on 10/18/2005

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN M WILLIAMS

Telephone: (703) 308-9140 EXT 213

PART 2 - OFFICE COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/553,696	PCT/JP04/05486	24-028-TN

FORM PCT/DO/EO/905 (371 Formalities Notice)